How to Create a 13F XML Information Table using Excel 2010 or 2007

Created by **Filer Technical Support**

These instructions have been written to help filers prepare and process files electronically. These instructions are provided as general guidance and should not be relied upon as definitive or a substitute for the information provided in the [EDGAR Filer Manual](). Instructions for Filing Form 13F begin on page 9-74 of the EDGAR Filer Manual (Volume II).

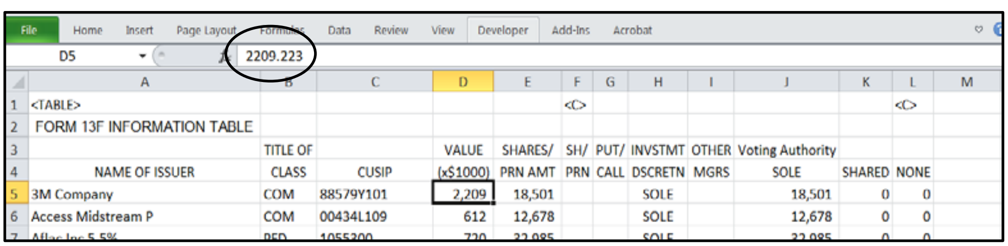
Please follow these steps:

Step I. Prepare your Table in Excel

Name of Issuer	Title of Class	Cusip No.	Value (x$1000)	Shrs or Prn Amt	SH_PRN	Put_Call	Invt Discretion	Other Mgrs	Sole	Shared	None
123 Co	COM	00206R102	4467000	126200	SH	Put	SOLE	12	0	0	126,200
ABC Inc	COM SER A	030420103	7254000	175950	PRN	Put	DFNF	1,34,56,13	79,200	0	96,750
DEFG Corp	SHS CLASS A ADDED	03076C106	9900000	122400	PRN	Call	OTR	1,56,14	46,700	0	75,700
HIJK Partners	UNIT LTD PARTN	032511107	8713000	101400	SH	Call	SOLE	15	47,050	0	54,350
LMNO Tech Corp	COM ADDED	037833100	28471000	71800	SH	Call	DFNF	1,56,16	49,100	0	22,700
PQRST Partners LTD	SPONSORED ADR	073302101	7999000	126800	PRN	Put	OTR	1,34,56,17	48,750	0	78,050
UVW Cap LP	UNIT LTD	084670702	8226000	73500	PRN	Put	SOLE	18	34,700	0	38,800
XYZ Series Trust	S&P BIOTECH	110122108	938000	21000	SH	Put	OTR	1,34,56,19	21,000	0	21,000

<u>Please follow these rules when preparing your table:</u>

- You must have 12 columns (No blank rows above and below your table or blank columns inserted into your table).
- Header information must be on one row (for example, Name of Issuer, Title of Class, Investment Discretion, etc.)
- The CUSIP cannot be more than 9 characters.
- Make sure columns with values do not have decimals. Sometimes in Excel the value that appears in a cell displays as a whole number but is still stored as decimals. This is evident when you look at the formula bar at the top of the spread sheet. If the formula bar is showing decimal values, the validation will fail in EDGAR. You will need to correct this by re-typing the numbers.



- The only acceptable values for Investment Discretion are SOLE, DFND, and OTR and must be capitalized.
- The SH/PRN type can only have a value of SH or PRN and must be capitalized.
- The Put/Call column can be left blank if there is no value; however, if you are entering a value the only acceptable values are Put and Call. The first letter must be capitalized. The other letters in may be in lowercase.
- The Other Managers field can be left blank if there is no value. If you are entering more than one number, use commas to separate the values (e.g. 1,10,23).
- The Sole, Shared, and None fields cannot be blank. If there is no value, you must enter a zero (0).

Remember: *As stated above, the only columns that do not require a value are Put/Call and Other Managers. Every row with an issuer must have a value in all of the other columns.*

Note: *If you are uncertain of the values for certain fields, please consult the [13F FAQ]() available from sec.gov or contact the SEC Division of Investment Management Chief Counsels Office at 202-551-6825.*

Step II. Save the Schema Files to Your Computer

The files you will need are contained in a zip file on the sec website (http://www.sec.gov/info/edgar.shtml). You will need to save this file to a single folder and extract all the files to that folder.

Please follow these instructions:

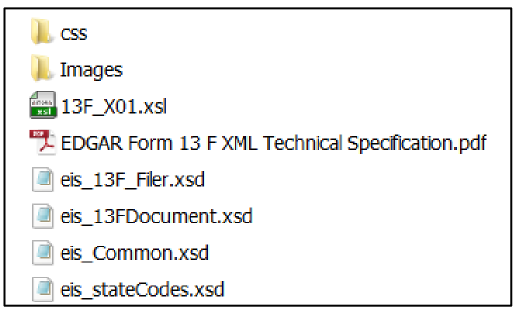
1. Click on the link to save the zip file to [download the EDGAR Form 13F XML Technical Specification (Version 1)](#) (This is a compressed folder.)

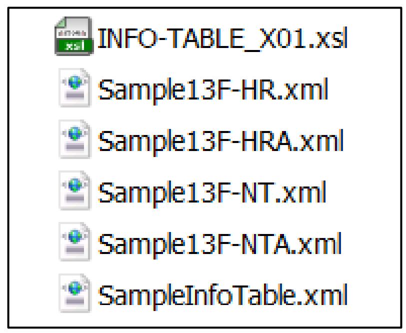
2. Click on **Save** and select the folder destination for the file. Select **Save** again.

3. Open the folder, right click on the file and select option **Extract All**.

4. Select the option **Extract.**

A folder will be created that contains the following files.





Note: *The method for extracting the files to a folder may vary depending on the zip software you have.*

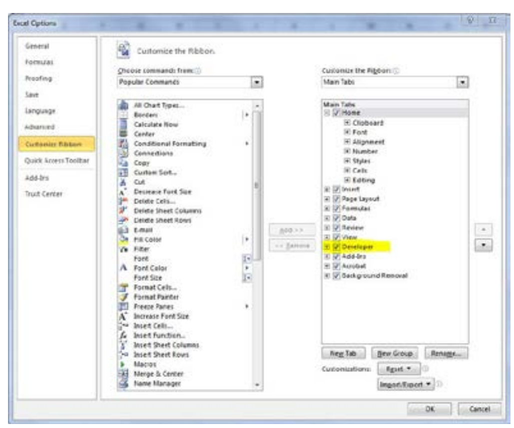
Step III. Enable the Developer Tab in Excel

Reminder: *We cannot assist with all aspects of Excel. If you are unfamiliar with Excel, you may need to consult with in-house resources for assistance.*

<u>Excel 2010</u>

If are using Excel 2010, follow these steps:

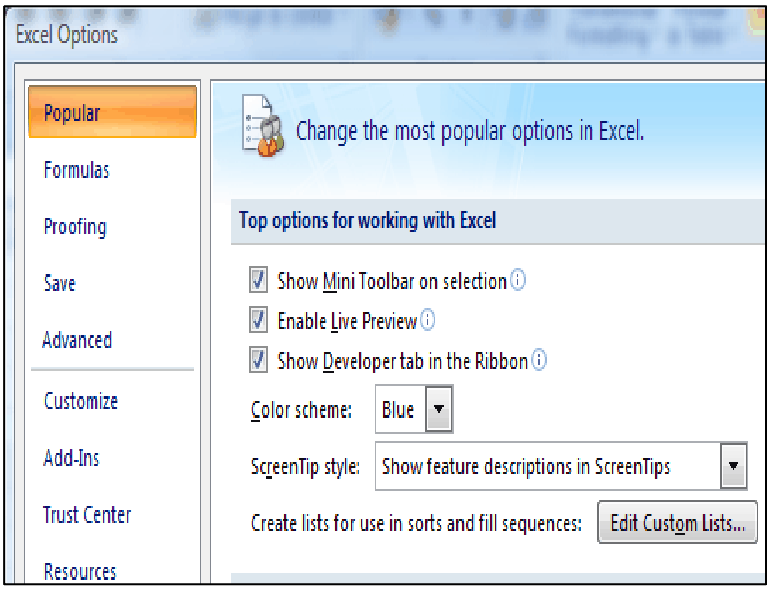
1. Click on **File.**
2. Click on **Options.**
3. Click on **Customize Ribbon.**
4. Click **(Check) "Developer"** to enable the tab.
5. Click **OK**.



Excel 2007

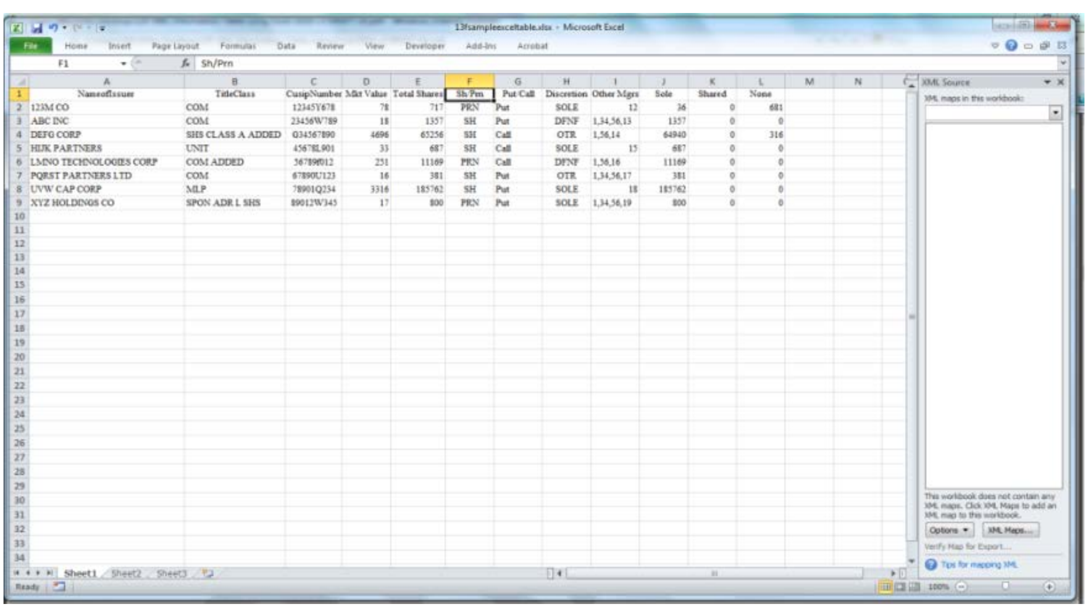
If you are using Excel 2007, please follow these steps:

1. In Excel 2007, click on the **Office** button  to open the drop down menu.
2. Click on the **Excel Options** button located at the bottom of the menu to open the Excel Options dialog box.
3. Click on the **Popular** option at the top of the left hand window of the open dialog box.
4. Click on the **Show Developer** tab in the ribbon located in the right hand window of the open dialog box.
5. Click **OK**.
6. The Developer tab should now be visible in the ribbon.

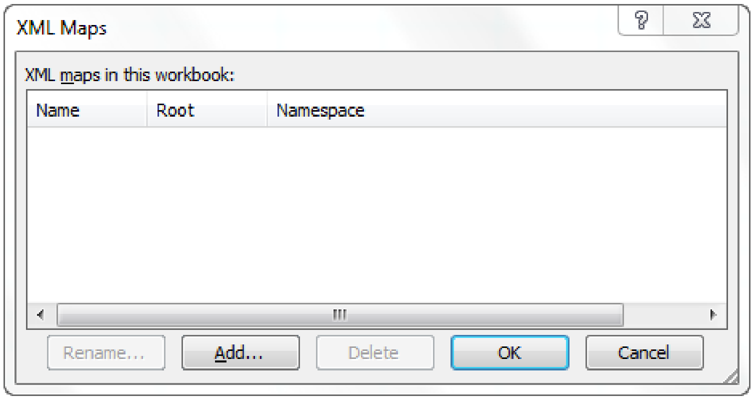


Step IV. Mapping Your Excel File

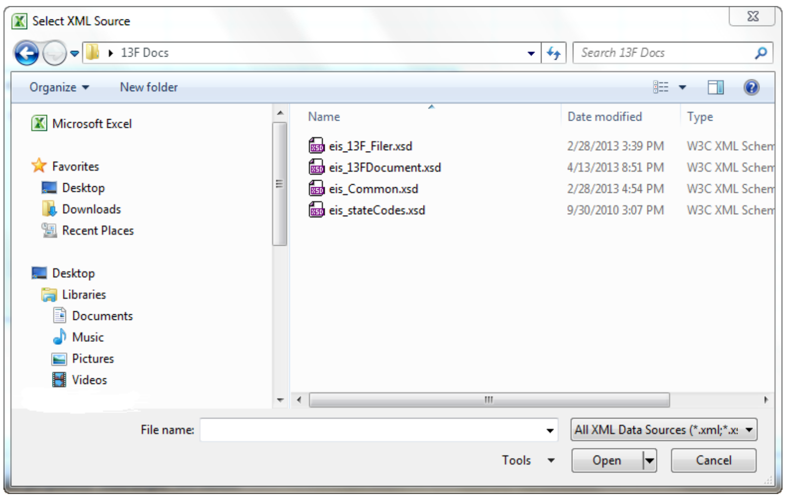
1. With your spreadsheet open, click on the **Developer** tab.
2. Click on **Source** located on the Developer ribbon and XML **Maps…** which is located in the XML Source Box at the bottom.



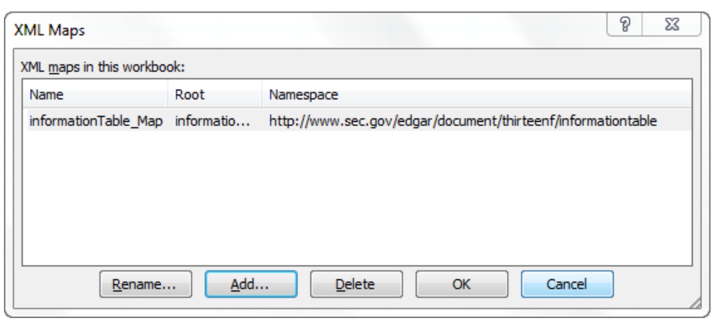
3. The XML Maps window will appear. Click the **Add** button.



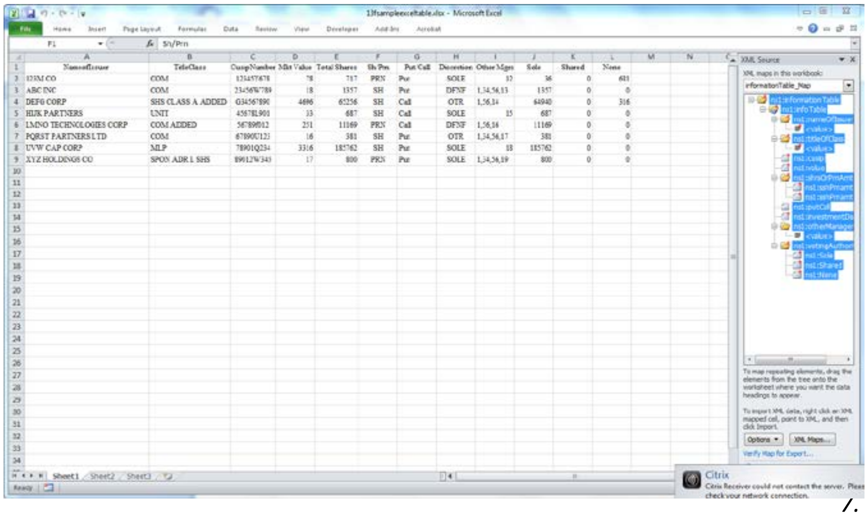
4. Go to the folder containing the extracted files, Select the eis_13FDocument file and click **Open**.



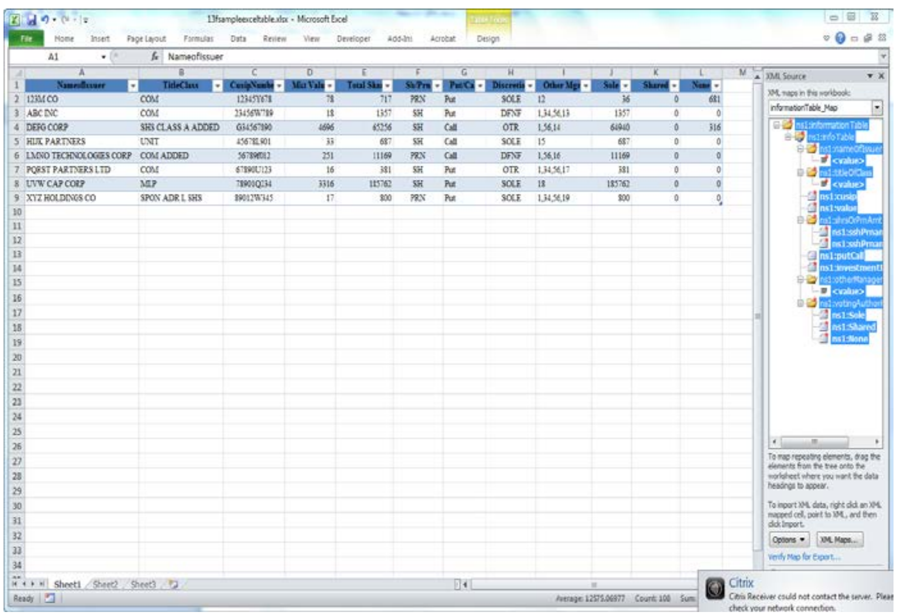
5. Click **OK.**



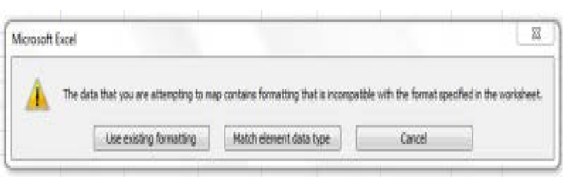
6. Click on **ns1:informationTable** (located at the top line in XML Source box)and the list will be highlighted.



7. Drag selection in XML Source to cell **A1** (Name of Issuer) in the spreadsheet and drop. Once you drop the XML Source into cell A1, the information table will be highlighted.



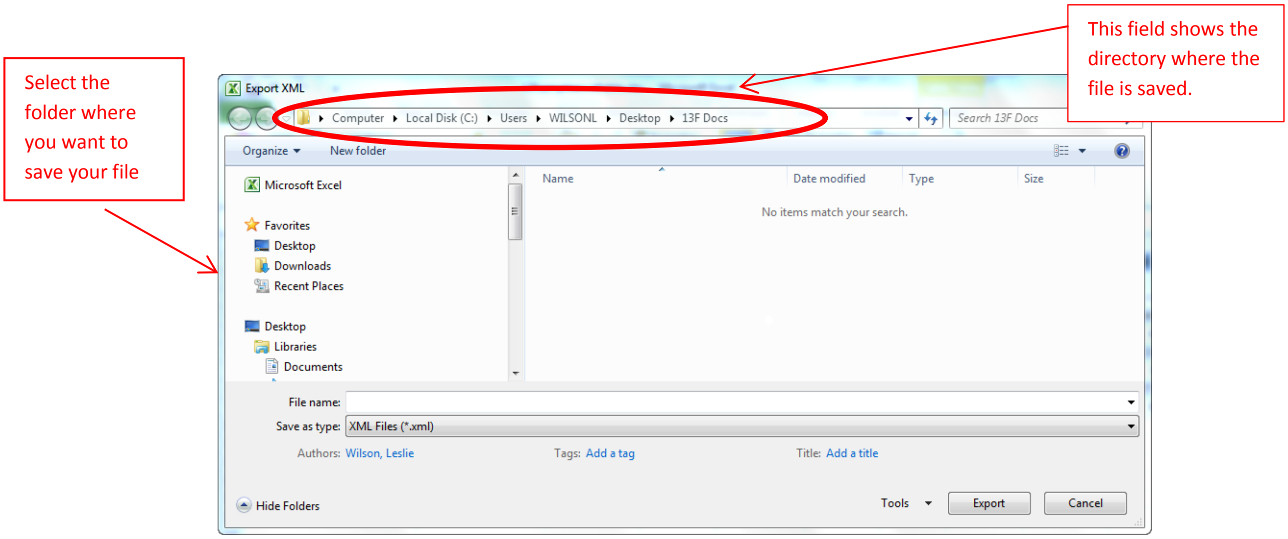
Note:** If you receive the following message, click on **Match Element Data Here.



Step V. Export Your Information Table to an XML File

1. Click on the **Developer** tab. ***Note: If you are using Excel 2003, you will need to Click on Date, XML, Export***

2. Click on **Export** (on Developer ribbon). *Warning: When you export the file, it will be saved as an XML file. Make sure you know where the file is being saved.`*

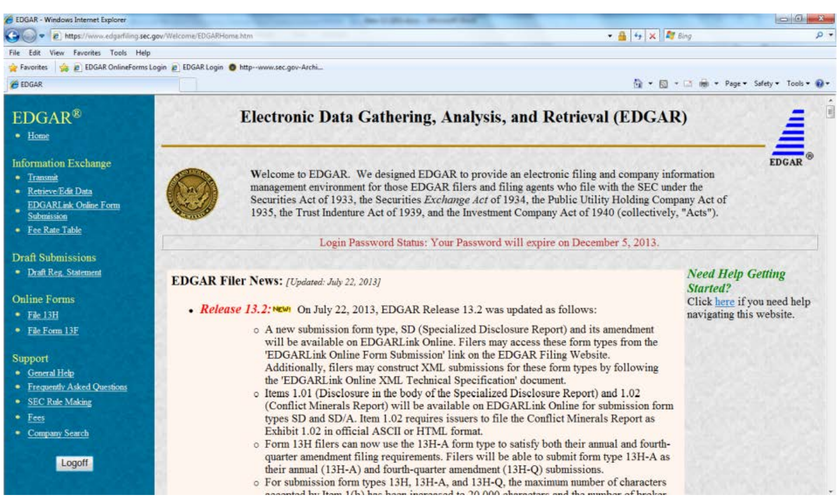


Remember: *EDGARLink Online will not allow you to add an improperly named file. The document file names must be upper or lower case and no longer than 32 characters in length. The names must start with a letter (a-z) or a number (0-9) and may not contain spaces. File names may contain any number of periods (.), hyphens (-), and underscore (_) characters but must end with* ****.xml*** *extensions.*

Step VI. Submit your Filing

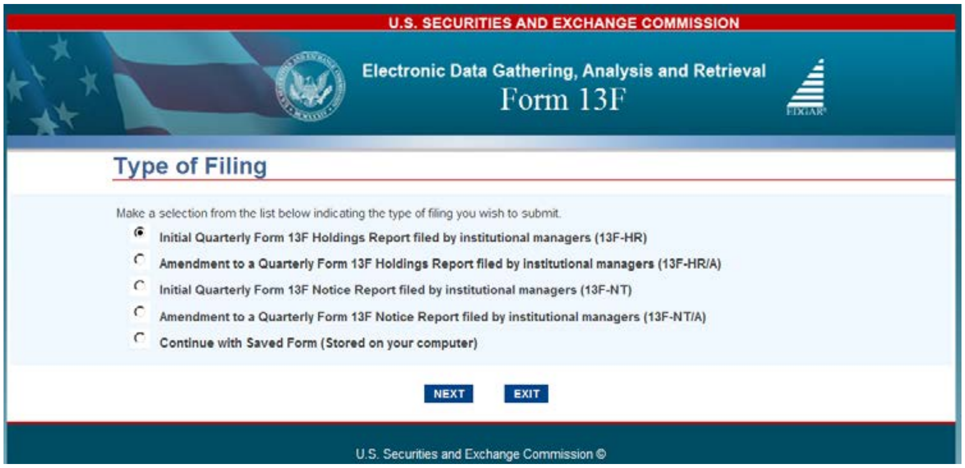
1. Log in to the EDGAR Filing website http://www.edgarfiling.sec.gov

2. Select **File Form 13F** under Online forms.

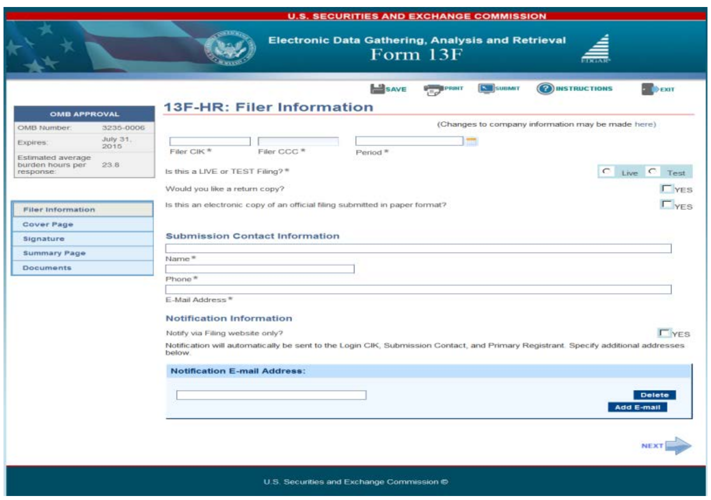


3. Select the form type from the **Type of Filing** list and choose **Next**.

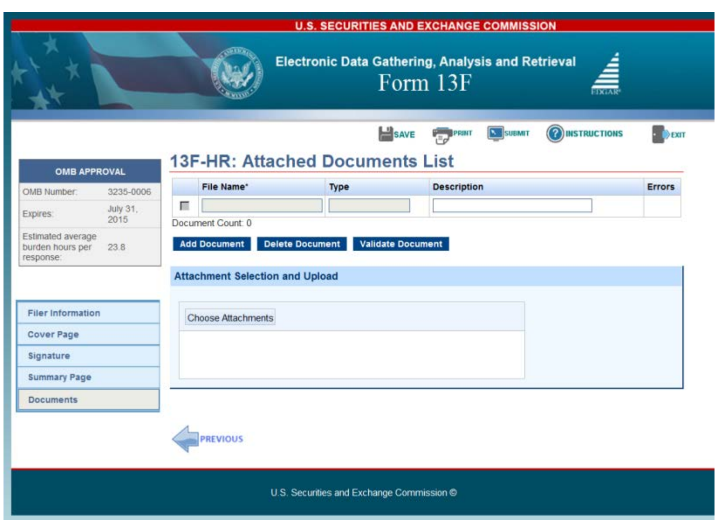
Note: *Select **Continue with Saved Form** only if you have previously saved an online form on the EDGAR filing website (http://www.edgarfiling.sec.gov). A saved online form will have an .eis extension (e.g. 13F_Filer.eis).*



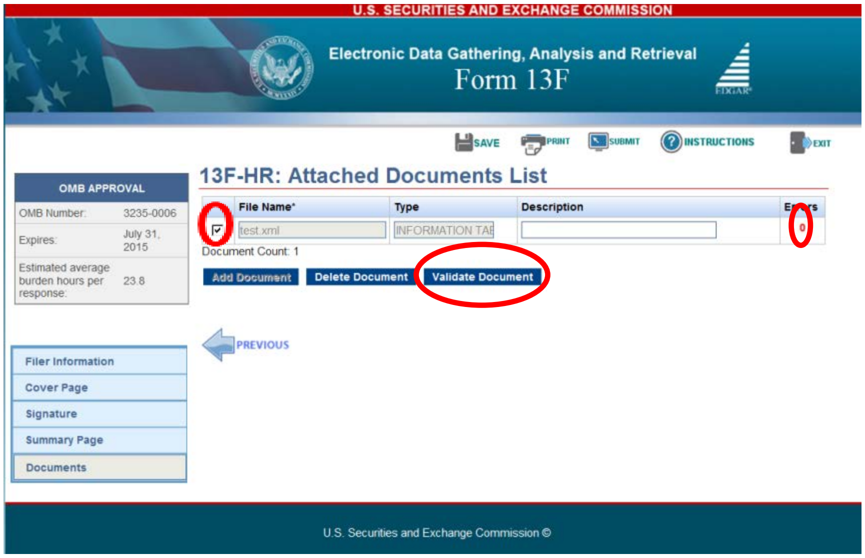
4. Complete the Filer Information, Cover, Signature and Summary pages



5. On the Document Page, select **Add Document**, choose **Attachments** and select the XML document exported in Excel.



6. Click the box next to the File Name and choose **Validate Document**.



7. If your document has no errors and you are ready to submit your live filing , click the **Submit** button.
8. If you would like to submit a test filing, select the test button on the Filer Information screen and click the Submit button.
9. If you would like to save the form, select the save button. You will be able to save the form in a directory and reopen it at a later time.
10. The file saves with the default name 13F_FILER.eis. To open it, you must select **Continue with Saved form (Stored on Your Computer)** from the Type of Filing screen (See Step VI instruction 3 above).

Remember: *Always check to make sure your submission was submitted as a live filing and that it was accepted. Assignment of an accession number does not mean that EDGAR has accepted your submission.*